

Form PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  
(REV 10-95)

ATTORNEY'S DOCKET NUMBER

1214-011212

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

09/890438

INTERNATIONAL APPLICATION NO.  
PCT/JP00/00518INTERNATIONAL FILING DATE  
31.01.00 (31 January 2000)PRIORITY DATES CLAIMED  
01.02.99 (01 February 1999)TITLE OF INVENTION **NOVEL CRYSTALLINE ION-ASSOCIATION SUBSTANCE, PROCESS  
FOR PRODUCING THE SAME, AND POLYMERIZATION INITIATOR**APPLICANT(S) FOR DO/EO/US **Shin HIWASA**Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items  
and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
  2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
  3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
  4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
  5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
    - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☒ has been transmitted by the International Bureau.
    - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
  6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
  7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
    - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ have been transmitted by the International Bureau.
    - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d. ☒ have not been made and will not be made.
  8. ☒ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
  9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
  10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11. to 16. below concern document(s) or information included:
11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
  12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
  13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
  14. ☐ A substitute specification.
  15. ☐ A change of power of attorney and/or address letter.
  16. ☒ Other items or information:
    - a. WO 00/46171-Front Page with Abstract and Search Report (2 pp.)

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17. ☒ The following fees are submitted:

**BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):**

Search Report has been prepared by the EPO or JPO..... \$860.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)  
..... \$690.00

No international preliminary examination fee paid to USPTO (37 CFR 1.482)  
but international search fee paid to USPTO (37 CFR 1.445(a)(2))..... \$710.00

Neither international preliminary examination fee (37 CFR 1.482) nor  
international search fee (37 CFR 1.445(a)(2)) paid to USPTO..... \$1000.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)  
and all claims satisfied provisions of PCT Article 33(2)-(4)..... \$100.00

CALCULATIONS PTO USE ONLY

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$ 860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☒ 30 months from the earliest  
claimed priority date (37 CFR 1.492(e)).

\$ 0.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	8 - 20	0	X \$18.00
Independent claims	1 - 3 =	0	X \$80.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00

\$ 0.00

\$ 0.00

\$ 0.00

**TOTAL OF ABOVE CALCULATIONS =**

\$ 860.00

Reduction of 1/2 for filing by small entity, if applicable.

\$ 430.00

**SUBTOTAL =**

\$ 430.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest  
claimed priority date (37 CFR 1.492(f)). +

\$ 0.00

**TOTAL NATIONAL FEE =**

\$ 430.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate  
cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$ 40.00

**TOTAL FEES ENCLOSED =**

\$ 470.00

Amount to be:  
Refunded

\$

Charged

\$

a. ☒ A check in the amount of \$ **470.00** to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.

c. ☒ The Assistant Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to  
Deposit Account No. 23-0650. A duplicate copy of this sheet is enclosed.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed  
and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Barbara E. Johnson  
700 Koppers Building  
436 Seventh Avenue  
Pittsburgh, Pennsylvania 15219-1818  
Telephone: (412) 471-8815  
Facsimile: (412) 471-4094

SIGNATURE

Barbara E. Johnson

NAME

31,198

REGISTRATION NUMBER

518 Rec'd PCT/ 3 1 JUL 2001

09/890438  
PATENT APPLICATION/PCT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF:

ATTORNEY'S DOCKET NUMBER

Shin HIWASA

1214-011212

PCT/JP00/00518

ENTITLED

**NOVEL CRYSTALLINE ION-ASSOCIATION SUBSTANCE, PROCESS  
FOR PRODUCING THE SAME, AND POLYMERIZATION INITIATOR**

To **BOX PCT**

Attention: **DO/EO/US**

Assistant Commissioner for Patents  
Washington, D.C. 20231

**EXPRESS MAIL CERTIFICATE**

"Express Mail" Label Number EL7635793337US

Date of Deposit July 31, 2001

I hereby certify that the following attached paper or fee

**Transmittal Letter To The United States  
Designated/Elected Office (DO/EO/US) Concerning A  
Filing Under 35 U.S.C. 371 (original and two (2) copies)  
And Check In The Amount Of \$470 For Filing Fee and Assignment Fee;  
WO 00/44915 Front Page With Abstract (1 p.) And Search Report (1 p.);  
Preliminary Amendment;  
Specification and Claims (47 pp.);  
Translation Of Amendments To The Claims Under Article 19 (4 pp.);  
Declaration And Power Of Attorney (2 pp.);  
Recordation Form Cover Sheet (1 p.) And Assignment (2 pp.);  
Verified Statement Claiming Small Entity Status (2 pp.)**

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

K.T. Berthold

(Typed name of person mailing paper or fee)

K.T. Berthold

(Signature of person mailing paper or fee)